

TOPIC 5: PERFORMING PERSONNEL ACTIONS

The purpose of this topic is to present the procedures related to performing personnel actions, resulting in a change in status or function in the SAM II HR/Payroll System. Three types of personnel actions will be examined.

Once the Employment Status Maintenance (ESMT) has been completed, approved and accepted, there are several actions that can be taken on the ESMT transaction that can be used to modify employee status. This topic will look at the actions necessary to effect the desired change(s) on the ESMT.

Additionally, this topic will cover the procedures necessary to remove or correct a personnel action that has already been processed. Finally, procedures are provided on how to delete an ESMT transaction.

At the end of this topic, you will be able to:

- Understand the types of personnel actions that can be taken on the Employment Status Maintenance
- Perform personnel actions on the Employment Status Maintenance (ESMT) transaction
- Remove or correct a a personnel action that you have previously processed
- Delete an ESMT



EMPLOYEE MAINTENANCE PROCESS CHART

Step 1: ESTABLISHING AN EMPLOYEE

Employment Status Maintenance (ESMT)

Step 2: ESTABLISHING & MAINTAINING EMPLOYEE ATTRIBUTES

Employee Address Maintenance (ADDR)

Licenses and Certifications (LCNS)

Employee Attributes Maintenance (ATTR)

Employee Contact Information (EMER)

Agency Specific & Accounting Data (AGYS, AGYA, AGYD)

Pass Information (PASS)

Employee ID Change (EIDC)

Employee Name Change (ENCH)

Step 3: PERFORMING PERSONNEL ACTIONS

Employment Status Maintenance (ESMT)

Step 4: EMPLOYEE MAINTENANCE INQUIRIES

- Employee Roster by Name (QXRF)
- Employee Roster by Employee ID (QXR2)
- Employee Roster by Social Security Number (QXR4)
- Employee Roster by Pay Location (QXR5)
- Employee Roster by Agency and Organization (QXR6)
- Employee Folder (QXRSF)
- Employee Pay Rate History (QRTE)
- Employee Pay Summary Inquiry (QPSM)
- Employment Verification (QVER)
- Employee Education Summary (QEDS)
- Historical Name Change Cross Reference (QNCX)
- Employment Status Maintenance Log Detail (QESD)
- County by Name (QCTY)



PERFORMING PERSONNEL ACTIONS

There are three types of personnel actions that can occur in the SAM II HR/Payroll System. They are Appointments, In-Service Changes and Separations.

The Appointment personnel actions include New Hire, Rehire and Hire Applicant. You have already utilized a New Hire action by processing an ESMT, which placed an employee in the job.

Once the ESMT has been completed, the employee exists on the database. When an in-service change that requires an entry into the database occurs to describe the new assignment of the employee, a personnel action must be entered on the ESMT. This is required for the SAM II HR/Payroll System to accurately track and pay employees of the State of Missouri. These transactions relate to employee changes such as promotion, reclassification, salary change, leave of absences, etc.

Separation personnel actions, also recorded on an ESMT, include retirement, resignation, dismissals, and other terminations of employment. Procedures for terminating employees will be covered in Topic Seven of this manual.

So far in this course, you have added an employee to the SAM II HR/Payroll System by completing the ESMT and other required transactions. At some point in the life of an employee, you will need to make changes to their personnel records.

Personnel actions and reasons affecting an employee will be entered on the ESMT and related windows as necessary. These windows will be completed whenever an employee has a change of assignment. Such assignment changes include Personnel Actions and Reasons. Examples would include new hire, leave with pay, emergency appointment, provisional appointment, class transfer, promotion, title change and many others.



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PERFORMING PERSONNEL ACTIONS

Changing an employee's Pay Class and/or Work Day Schedule

If an employee has changed work day schedules with the *same number of off days* then this change should be made on the Agency Specific and Accounting Data (AGYS) window. The new work day schedule can be recorded on the Work Cycle field. The employee's Pay Class should not be changed unless the new work day schedule has a *different number of off days* from the previous work day schedule *or* the employee is moving from exception to positive paid (or vice versa).

If an employee's Pay Class is being changed because the *number of off days* has changed then the agency needs to make the change on the first day of the FLSA cycle. If changing from a positive-paid to exception-paid Pay Class or vice-versa, then refer to the *Pay for Agencies* course, Topic 3: Pay Calculations, under the "Changing Pay Class During a Pay Period" heading. **All changes to an employee's Work Day Schedule (work cycle) must be made on the first day of the FLSA cycle.**

For example, an employee normally works Sunday - Thursday (Pay Class code: PFS) and their FLSA cycle is Sunday - Saturday. The employee's schedule has changed effective September 15th and the employee will start working Tuesday – Saturday (Work Cycle code: OUM). This Work Cycle code change should be done on the first day of the FLSA cycle; in this example it would be effective on Sunday the 17th of September. This change should be made to the Work Cycle field on the AGYS.

Note: All changes to an employee's work schedule should be effective on the first day of the employee's FLSA cycle, regardless of whether this is done through the Pay Class (on ESMT) or Work Cycle (on AGYS). Changes from exception-paid to positive-paid (or vice-versa) should only be effective the first day of a pay period.

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	
					1	2	
3	4	5	6	7	8	9	
10	11	12	13	14	15	16	
←	Employee's previous work schedule					→	
17	18	19	20	21	22	23	
	← Employee's new work schedule →						



EMPLOYMENT STATUS MAINTENANCE (ESMT)

Employment Status Maintenance

Employee ID: 040 - 21 - 0001 Appointment ID: Alternate ID:

Prefix: MS First: JENNY Middle: SUE Last: GRANT Suffix:

Effective Date: 04 / 25 / 00 Expiration Date: / / Original Appt Date: 04 / 25 / 00

Job Assignment Dates Assignment Attributes Pay Parameters Certificate/Remark

	Pay Type	A / P Ind	Amount / Percent	Effective Date	Expiration Date
1					
2					
3					
4					

Message Tran ID: 3:01 PM 04/25/00



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PERFORMING PERSONNEL ACTIONS

SCENARIO

Jenny has successfully completed a full year in her position as Personnel Analyst I. She will be reclassified to Personnel Analyst II accompanied by a salary increase.

This action will be accomplished using the ESMT. The following pages will define the fields and provide the necessary information to process this action. As discussed earlier, the Employee Status Maintenance (ESMT) must be completed, approved and accepted by the system before any changes can be made to an employee's record.

Step 1 To open ESMT from the SAM II HR/Payroll System Desktop Navigator window, click on the Go To icon. Type ESMT in the "CODE". Click on the Open button.

Step 2 Populate the following field.

EMPLOYEE ID - SEE STUDENT CARD

Select **Display: Browse Data** to view the existing employee information.

Step 3 Enter the following information on the Header and Job Assignment panel of the ESMT:

EFFECTIVE DATE – Type the date "one month" from **TODAY'S DATE**

PERSONNEL ACTION/REASON – Type **CHCON/C12**

JOB STATUS – Type **R**

STEP – Type **K**

Step 4 Enter the following information on the Assignment Attributes panel of the ESMT:

TITLE – Type **000412**



EMPLOYMENT STATUS MAINTENANCE (ESMT)

Employment Status Maintenance

Employee ID: 040 - 31 - 0001 Appointment ID: Alternate ID:

Prefix: MRS First: JENNY Middle: SUE Last: JACOBSEN Suffix:

Effective Date: 04 / 25 / 00 Expiration Date: 09 / 30 / 01 Original Appt Date: 04 / 13 / 00

Job Assignment | Dates | Assignment Attributes | Pay Parameters | Certificate/Remark

Personnel Action / Reason: CHCON / C12 Job Status: R Employment Status: K

Assignment Information

Agency: 300 Organization: 2350 EEO Full-time: Yes Union Member: Yes

Position Number: EM31001 % Full-time: 1.0000 No No

Table Driven Pay: Use Table Step: D N/A N/A Union Affiliation:

Do Not Use Table

Selection Required

Application Information

Applicant ID: Job Notice ID:

Messages Tran ID: 4:50 PM 04/25/00

Employment Status Maintenance

Employee ID: 040 - 31 - 0001 Appointment ID: Alternate ID:

Prefix: MRS First: JENNY Middle: SUE Last: JACOBSEN Suffix:

Effective Date: 04 / 25 / 00 Expiration Date: 09 / 30 / 01 Original Appt Date: 04 / 13 / 00

Job Assignment | Dates | Assignment Attributes | Pay Parameters | Certificate/Remark

Position Attributes

Payroll Number: 300 Title: 00412 Sub-title: J1 Assignment Type: Permanent

Pay Class: PFS Time Class: Temporary

Civil Service Status: UCPY None

Overrides

Grade: Pay Policy: Leave Policy: Benefits Policy:

FLSA: Exempt Non-exempt No Override FLSA Profile:

Messages Tran ID: 4:50 PM 04/25/00



PROCESS AND UPDATE EMPLOYEE STATUS MAINTENANCE (ESMT)

You have completed entering the field information for the ESMT and it is time to update and approve the transaction. Remember that the Process: Update step checks the transactions for errors. After a transaction is free of errors, the necessary levels of approvals are applied. The type of transaction and, in some cases, whether or not you are a UCP or Non-UCP agency, determine Approval levels for each transactions. Your ability to apply approvals is determined by the security profile that you have been assigned. Also, remember that items will enter and leave your worklists based upon what stage of the editing and approval process the transaction is in, what your security profile allows you to do, and your agencies workflow rules.

Now, let's complete the approval processing of the ESMT:

Step 1 Select **Process: Update**.

If the transaction contains errors, messages will appear specifying the errors. You would need to correct the errors and repeat Step 1. If your transaction is free of errors, a message will appear in the yellow message bar at the bottom of the transaction window telling you that approvals are ready to be applied.

Step 2 Close the transaction. Workflow will now route the transaction as needed.

Note: For training purposes, you will stop at this point. The instructor will complete the next step. However, in the “real world”, you would perform one of the following step to apply additional levels of approval. Your ability to apply different levels of approval will be determined by your security profile.

Applying Additional but Not Final Approvals

Step 3 Select **Process: Approve**.

Step 4 Close the transaction. Workflow will now route the transaction as needed.

OR

Applying Final Approval

Step 3 Select **Process: Approve-Update**.

Step 4 Close the transaction.



NOTES



REMOVING/CORRECTING PREVIOUSLY PROCESSED PERSONNEL ACTIONS

A personnel action that was erroneously entered on the ESMT can be removed if payroll has NOT been run against the information. In order to correct an ESMT, the fifth level of approval is necessary. A user with the third level of approval can initiate the removal/correction process that will create a pending transaction on the Employee Transaction Listing (SUSE). A user with less than the third level of approval can only initiate a removal/correction of an ESMT.

If the erroneous personnel action has been processed and updated to the database, and payroll HAS been run against this transaction, the user can no longer remove/correct an ESMT transaction. Another personnel action on an ESMT must be performed to correct the data.



REMOVING / CORRECTING PREVIOUSLY PROCESSED PERSONNEL ACTIONS



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REMOVING/CORRECTING PREVIOUSLY PROCESSED PERSONNEL ACTIONS

The following steps describe how to remove/correct the erroneous personnel action that has gone through the fifth level of approval and has been accepted by the system. This must be done before payroll has run.

Step 1 Access the ESMT transaction screen from the Go To window.

Step 2 Enter the Employee ID and the Effective Date of the ESMT you wish to correct in the appropriate fields.

Step 3 Select **Display: Browse Data**.

The ESMT record will appear.

Step 4 Select **Process: Undo**.

If you receive an error message that says CANNOT UNDO – PAYROLL RUN ON ASGN then payroll has been run and you cannot remove/correct the ESMT. If you only have the third level of approval, the transaction that you deleted will be on the SUSE with the status "PDAP" and the action "D". The deletion will be finalized once the fifth level of approval is applied. The deleted transaction will then carry the status "ACCPT" and the action "D".

If the ESMT has acquired the third level of approval, but is awaiting the fourth and fifth level of approval from the central processor, contact the Office of Administration/Division of Personnel to delete the transaction.

Workflow will route the ESMT for approval and processing. The OA/Division of Personnel will approve these deletions for UCP agencies.

The former (previously executed) personnel action will then become the currently effective one.

If necessary, a new ESMT should be processed reflecting the appropriate personnel action.



REMOVING / CORRECTING PREVIOUSLY PROCESSED PERSONNEL ACTIONS

A screenshot of a software window titled "Employment Status Maintenance". The window contains several input fields and tabs. At the top, there are fields for Employee ID, Appointment ID, and Alternate ID. Below these are fields for Prefix, First, Middle, Last, and Suffix. Further down are Effective Date, Expiration Date (highlighted in cyan), and Original Appt Date. A set of tabs includes Job Assignment, Dates, Assignment Attributes, Pay Parameters, and Certificate/Remark. Below the tabs are fields for Personnel Action / Reason, Job Status, and Employment Status. A section titled "Assignment Information" contains fields for Agency, Organization, EEO Full-time, and Union Member, along with radio buttons for "Use Table", "Do Not Use Table", and "Selection Required". Another section titled "Application Information" has Applicant ID and Job Notice ID fields. At the bottom, there is a status bar with "Messages", "Tran ID:", "3:39 PM", and "04/27/00".

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REMOVING/CORRECTING PREVIOUSLY PROCESSED PERSONNEL ACTIONS

If payroll has already been run against incorrect information, another personnel action on an ESMT must be performed to correct the data.

Step 1 To open ESMT from the SAM II HR/Payroll System Desktop Navigator window, click on the Go To icon. Type ESMT in the “CODE”. Click on the Open button.

Step 2 Complete the appropriate fields on the Job Assignment panel of the ESMT.

EMPLOYEE ID – Required. Enter the employee’s social security number.

APPOINTMENT ID - Conditional. This field requires input only if the employee is working in multiple positions concurrently. If correcting a personnel action on an employee’s primary appointment, leave this field blank. If the personnel action affects a secondary appointment, a character must be entered here. By all means, ensure that you are changing the personnel action on the correct appointment for that individual.

EFFECTIVE DATE – Required. Enter the date of the Personnel Action you want to correct.

Execute **DISPLAY:BROWSE DATA**. Employee information already established on the database will automatically populate fields on the ESMT.

Step 3 If applicable, make corrections to fields on the Job Assignment panel of the ESMT as follows:

PERSONNEL ACTION/REASON - Required. If the personnel action was previously entered in error, enter the code that corrects the action. Valid values are located on the Personnel Action (PACT) window. If correcting other information on the ESMT, select “CORR” (Corrections) as the personnel action.

REASON – Required. Enter the reason code for the personnel action. Valid values are located on the Personnel Action Reason (PART) window. If the personnel action chosen was “CORR”, provide comments as to the reason for the change on the Certificate/Remark panel.



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REMOVING/CORRECTING PREVIOUSLY PROCESSED PERSONNEL ACTIONS

Step 4 Make any necessary changes to fields on the Dates panels of the ESMT.

Step 5 Make any necessary changes to fields on the Assignment Attributes panels of the ESMT.

Step 6 Make any necessary changes to fields on the Pay Parameters panel of the ESMT.

Step 7 Make any necessary changes to fields on the Certificate/Remark panel of the ESMT. If the personnel action chosen on the Job Assignment was “CORR”, provide comments as to the reason for the change on the Certificate/Remark panel.



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Now, let's complete the approval processing of the ESMT:

Step 1 Select **Process: Update**.

If your transaction is free of errors, a message will appear in the yellow message bar at the bottom of the transaction window telling you that approvals are ready to be applied. If the transaction contains errors, messages will appear specifying the errors. You would need to correct the errors and repeat step 1.

Step 2 Close the transaction. Workflow will now route the transaction as needed.

Note: For training purposes, you will stop at this point. The instructor will complete the next step. However, in the “real world”, you would perform one of the following step to apply additional levels of approval. Your ability to apply different levels of approval will be determined by your security profile.

Applying Additional but Not Final Approvals

Step 3 Select **Process: Approve**.

Step 4 Close the transaction. Workflow will now route the transaction as needed.

OR

Applying Final Approval

Step 3 Select **Process: Approve-Update**.

Step 4 Close the transaction.

OR

Making Changes to a Transaction

Step 3 Select **Process: Update**.

Step 4 Close the transaction. Workflow will now route the transactions as needed.



NOTES



ACTIVITY

What will need to be done to correct an erroneous personnel action if payroll has already been run?



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